

2000 Area Plan on Aging

This chapter provides an outline of the Division of Aging and Adult Services policies and procedures for the development of the Area Plan on Aging.

Section	Title	Former Chapter
2100	Area Plan on Aging	90-22
2200	Collecting Public Input	90-18, 90-19
2300	Targeting of Services/Identification of Needs	90-33, 90-28
2400	Developing Goals and Objectives	New
2500	Section Left Intentionally Blank	
2600	Section Left Intentionally Blank	
2700	Requesting Waivers	90-05, 90-22
2800	Program Development and Coordination	90-04
2900	Service Contributions	2000

2100 Area Plan on Aging

2101 Overview

Each Area Agency on Aging shall develop and submit, in a prescribed format, a three-year Area Plan on Aging and annual amendments for approval to the Division of Aging and Adult Services, in order to receive funds under the Older Americans Act. Area Plans on Aging identify information to enhance the public understanding of the issues and needs of older persons, and enhance public awareness of the Area Agency on Aging's future plans to act on behalf of older persons within its Planning and Service Area.

This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for the requirements associated with the development and submittal of Area Plans on Aging and amendments. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §305, §306, and §307; Title 45 C.F.R. §1321.17, §1321.35, and §1321.59; A.R.S. §41-1954; and A.C.C. R6-8-101 through 117; and Aging 2020 Arizona's Plan for an Aging Population..

2102 Operational Principles

2102.1 The Area Plan on Aging is the blueprint by which the Area Agency on Aging develops and administers a comprehensive and coordinated system of services and serves as the advocate for older persons in the Planning and Service Area.

2102.2 The Area Plan on Aging has the following purposes:

- A) Represents a commitment by the Area Agency on Aging to the aging network to administer a comprehensive and coordinated system of services in accordance with all Federal and State requirements.
- B) Describes how the Area Agency on Aging will carry out its designated responsibilities.
- C) Establishes goals and objectives that will be undertaken by the Area Agency on Aging to address the needs of older persons within the Planning and Service Area.
- D) Describes the manner in which the Area Agency on Aging plans to utilize the Older Americans Act funds.

2102.3 The following guiding principles should be considered when developing an Area Plan on Aging:

- A) Plans that incorporate strategies to create communities where persons of all ages, with or without disabilities, can live meaningful, productive, healthy independent lives.

- B) Plans that provide for adequate and appropriate options for community living, and the ability to choose and direct one's own care will be the standard approach in aging services.
- C) Plans that reflect the multiculturalism so vital to Arizona, while acknowledging that state and local governments, faith-based organizations, businesses, local communities, families and individuals must work together to successfully plan for and address the growth of the aging population.
- D) Plans that acknowledge Arizona's regional differences, be attentive to rural, urban, and suburban needs, and take a multidisciplinary approach to change.

2103 Operational Procedures for the Development of the Area Plan on Aging

2103.1 The Area Plan on Aging format is prescribed by the Division of Aging and Adult Services. Format Instructions are provided in Exhibit A.

2103.2 The Area Plan on Aging covers a three-year period beginning July 1 of the first year and ending June 30 of the third year.

2103.3 The Area Plan on Aging shall contain the following components:

- A) Verification of Intent
- B) Introduction to the Area Plan on Aging
- C) Description of the Area Agency on Aging
- D) Needs Assessment as described in section 2300
- E) Goals and Objectives as described in section 2400
- F) Preference to Older Persons with Greatest Economic or Social Need as described in section 2300
- G) Key Changes to Service Delivery
- H) Approved Waivers as described in section 2700
- I) Services by Geographic Area
- J) Budget
- K) Assurances required by the Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §306 (Exhibit B).

2104 Operational Procedures for Submittal of an Area Plan on Aging

2104.1 Area Agencies on Aging are required to submit to the Division of Aging and Adult Services an Area Plan on Aging in the format described in 2103, and annual amendments, at least 60 days prior to the plan's effective date.

2104.2 Plans must be submitted electronically.

2104.3 Area Plans on Aging become effective on July 1 of the first year of the three-year plan.

2104.4 Amendments to the Area Plan on Aging may be required from time to time during its term (for example: amendments will be required any time

the funding levels to the Planning and Service Areas changes and/or when the Area Agency on Aging seeks to change local funding priorities).

2104.5 Area Plan on Aging and/or amendments are approved by Division of Aging and Adult Services within 60 days after receipt of the submitted plan as detailed in section 2105.

2105 Operational Procedures for Area Plan Review, Evaluation, and Approval

2105.1 Upon submission to the Division of Aging and Adult Services, the following criteria will be applied to the Area Plan on Aging:

- A) The prescribed format was followed.
- B) Requested information identified in the instructions was supplied.
- C) Appropriate documentation is submitted.
- D) Compliance with all Federal and State requirements and initiatives.

2105.2 Term Approval is granted for the full-term of the Area Plan on Aging. Term Approval is granted when the Area Plan on Aging meets the criteria established in section 2105.1.

2105.3 Provisional approval is granted when the Area Plan on Aging, as submitted, does not meet all of the necessary requirements as established by the evaluation criteria. Provisional approval is granted for a limited period of time of 90 days during which the Area Agency on Aging must correct the sections of the plan that do not meet the criteria identified in 2105.1.

- A) In the event that the Area Agency on Aging does not, or refuses to make the necessary corrections, the Area Plan on Aging will expire and the Area Agency on Aging will be required to submit a corrective action plan.

EXHIBITS:

2000A - Area Plan on Aging Format Instructions

2000B - Area Plan Assurances

2200 Collecting Public Input

2201 Overview

The Area Agency on Aging shall ensure that public input is elicited in the development of the Area Plan on Aging. The Advisory Council has an advisory function that furthers the Area Agency on Aging's mission of developing and coordinating community-based systems of services for all older persons in its Planning and Service Area. Area Agencies on Aging shall conduct public input sessions whereby information and suggestions from the public is elicited whenever it proposes to submit or amend an Area Plan on Aging or seek a waiver.

This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for the functions of the Advisory Council, established by an Area Agency on Aging. This chapter also provides an outline of the Division of Aging and Adult Services operational principles and procedures for minimal informational requirements that need to be made available for consideration to the public, when conducting Area Plan public input sessions. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §306 and §307; and Title 45 C.F.R. §1321.57 and §1321.61.

2202 Operational Principles for Advisory Councils

2202.1 The Advisory Council represents the interest of older individuals and carries out advisory functions which further the Area Agency's mission of developing and coordinating community-based systems of services for all older persons in the planning and service area.

2202.2 The Advisory Council advises and makes recommendations to the Area Agency on Aging on the development and administration of an approved Area Plan on Aging.

2202.3 The Advisory Council actively participates in conducting public input sessions.

2202.4 The Advisory Council reviews and comments on all community policies, programs and actions which affect older individuals with the intent of ensuring maximum coordination and responsiveness to older individuals.

2203 Operational Procedures for Advisory Councils

2203.1 The Advisory Council shall be responsible for reviewing the Area Plan, and any amendments to the plan prior to its transmittal to the Division of Aging and Adult Services for approval.

2203.2 The Advisory Council shall be provided adequate training relative to its advisory role maintained in relation to the roles of the Division of Aging

and Adult Services and the Area Agency on Aging. At a minimum, the following shall be provided during an Advisory Council training:

- A) Overview of the Older American's Act, as amended, with emphasis on Titles and the purpose of each Title.
- B) Organizational structures of the Administration on Aging, the Division of Aging and Adult Services, Area Agencies on Aging and service providers.
- C) Responsibilities of Division of Aging and Adult Services with emphasis on the State Plan process, Funding Formula, funding flow, allocation of funds, and the designation of and relationship with Area Agencies on Aging.
- D) Responsibilities of Area Agencies on Aging, with special emphasis on Area Plan development and process, and the allocation of funds.
- E) Responsibilities of Advisory Councils, with special emphasis on the membership role to advise the Area Agency on Aging on all matters relating to the development of the Area Plan, the administration of the plan, and operations conducted under the plan.
- F) Other areas as identified by the Area Agency on Aging.

2203.3 The composition of the Advisory Council shall be such that representation from the total community is reflected, and to ensure the leadership role which the Area Agency on Aging holds is enhanced and strengthened. The Advisory Council shall consist of the following:

- A) More than 50% older persons, including minority individuals and older individuals residing in rural areas who are participants or who are eligible to participate in programs funded under the Older Americans Act.
- B) Representatives of older individuals.
- C) Representatives of health care provider organizations, including providers of veteran's health care, if appropriate.
- D) Representatives of supportive service provider organizations.
- E) Persons with leadership experience in the private and voluntary sectors.
- F) Local elected officials.
- G) The general public.

2203.4 In selecting the membership of the Advisory Council, Area Agencies on Aging shall ensure that a conflict of interest does not exist among its members. Provider agencies selected for membership on the Advisory Council cannot receive funds from Area Agencies on Aging.

2204 Operational Principles for Public Input

- 2204.1 Area Agencies on Aging, as responsible advocates, shall provide an opportunity for full participation by older persons and other members of the public in decisions made which affect older persons and the programs that Area Agencies on Aging provide.
- 2204.2 Public input associated with the Area Plan on Aging provide an opportunity to collect input from older persons as well as to provide a mechanism for discussing legislative, administrative and programmatic issues affecting older persons.
- 2204.3 The information disseminated during the public input sessions should be readable and understandable, with sufficient information to support an understanding of the Area Agency on Aging's intentions and the implications for the older person living within the Planning and Service Area.

2205 Operational Procedures for Public Input Sessions

- 2205.1 The Area Agency on Aging shall hold public input sessions when it plans to submit or amend an Area Plan on Aging or seek a waiver as described in sections 2104 and 2700 respectively.
- 2205.2 The Area Agency on Aging shall hold at least one public input session prior to submitting a new Area Plan on Aging as identified in Division of Aging and Adult Services Policy Chapter 2100.
- 2205.3 The Area Agency on Aging shall hold at least one public input session each fiscal year on an approved Area Plan on Aging to:
- A) Establish that the Area Agency on Aging has accomplished the goals and objectives stipulated for the preceding fiscal year.
 - B) Discuss any amendments in the goals and objectives for the coming fiscal year.
 - C) Inform the public of funds expended during the preceding fiscal year for identified services.
- 2205.4 The Area Agency on Aging shall use the media or other public venues to inform potentially interested parties of the scheduled public input session(s) and identify time and purpose of the public input session(s). Notices shall be posted in visible places.
- 2205.5 The Area Agency on Aging shall publicize the public input session at least 14 calendar days in advance of the scheduled public input session and must document the publications in their Area Plan on Aging.
- 2205.6 Public input sessions shall be held at times and locations that permit older persons, public officials, and other interested parties the opportunity to participate.

- 2205.7 Sufficient background or other information specific to the purpose of the public input session (for example: copies of the proposed document, needs assessment, current budget) should be made available to interested parties at least five working days in advance of the scheduled public input session so that interested parties are provided an opportunity to review, understand, prepare, and formally express their comments.
- 2205.8 The Area Agency on Aging must keep a written record of the proceedings of the public input session and include the written record in their Area Plan on Aging.

2300 Targeting of Services/Identification of Needs

2301 Overview

The Area Agency on Aging shall provide assurances that in their service provision, preference will be given to individuals with greatest economic need and greatest social need with particular attention to low-income minority individuals and individuals residing in rural areas, older individuals who are Indians, and older individuals with severe disabilities. The Division of Aging and Adult Services provides for a method of prioritizing the needs of older individuals.

This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for Area Agencies on Aging targeting the provision of services to individuals with greatest economic and social need; giving priority to low-income minority individuals and older individuals residing in rural areas. This chapter also provides an outline for the Division of Aging and Adult Services operational principles and procedures on the process for Area Agencies on Aging to carry out an identification of needs process as part of their Area Plan on Aging. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §306 and §307; and Title 45 C.F.R. §1321.17, §1321.53, §1321.57, and §1321.61

2302 Operational Principles for Targeting of Services

2302.1 The concentration of programs, and distribution of funds provided under the Older Americans Act, will be directed to assisting older individuals who are in the greatest economic or social need, with particular attention to low-income minority individuals and individuals residing in rural areas, older individuals who are Indians, and older individuals with severe disabilities.

2303 Operational Procedures for Targeting of Services

2303.1 The Area Agency on Aging shall target services with preference to assisting older individuals who are in the greatest economic or social need, with particular attention to low-income minority individuals and individuals residing in rural areas, older individuals who are Indians, and older individuals with severe disabilities.

2303.2 The Area Agency on Aging shall include in each Request for Proposal package and contract entered into with providers for the provision of services funded under the Older Americans Act, a requirement that the providers will specify how the provider intends to satisfy the service needs of older low-income minority individuals and individuals residing in rural areas, in the area served by the provider and attempt to provide service to low-income minority individuals and older individuals residing in rural areas in the area served by the provider.

- 2303.3 Annually, the Area Agency on Aging shall compare by service the proportion of low-income minorities and older individuals residing in rural areas served to the total elderly population composition in the Planning and Service Area, to determine if the preference was provided.

2304 Operational Principles for Identification of Needs

- 2304.1 The Area Agency on Aging shall develop and implement procedures for an identification of needs process as part of its Area Plan on Aging development.
- 2304.2 The Area Agency on Aging shall include the following in the identification of needs process:
- A) An analysis of demographic data.
 - B) An analysis of service utilization and unmet needs.
 - C) Group process and/or interviews and/or surveys of clients.
 - D) Information and suggestions from the general public and key informants.
 - E) Other data sources such as private service delivery systems and public agencies.

2305 Operational Procedures for Identification of Needs

- 2305.1 The Area Agency on Aging shall analyze the available demographic data in their identification of needs process. Some examples of demographic data include socio-economic indicators, demographic characteristics, rural and minority status. Demographic data is available through a variety of sources such as the U.S. Census Bureau, Administration on Aging, U.S. Department of Labor, Department of Economic Security Research Administration; Councils of Governments; County and City government; other state agency plans.
- 2305.2 The Area Agency on Aging shall analyze the characteristics of clients in the system, their service usage, access to services, and the availability of services to identify service gaps or unmet needs.
- 2305.3 The Area Agency on Aging shall assess the types and levels of services needed by the older individuals in the Planning and Service Area. The following methods may be used by an Area Agency on Aging to assess the needs of the community:
- A) Face to face interviews.
 - B) Surveys that are mailed, telephonic, electronic, or in-person.
 - C) Public input sessions such as community/professional group forums, focus groups.
 - D) Other methods identified by the Area Agency on Aging.

2305.4 Whenever an Area Agency on Aging engages in the identification of needs process, various entities within the Planning and Service Area shall be included to elicit the information necessary for identifying and evaluating the needs of the older persons. Including other entities in the process allows for a diversity of opinions, identification of unmet needs, and suggestions for meeting those needs. The following groups shall be included in the methods identified in section 2305.3:

- A) Consumers of services such as participants at senior centers, clients who receive home care services
- B) General population including seniors who do not participate in services.
- C) Key informants such as staff of provider agencies, political leaders, senior network leadership, professional in the community (for example physicians, clergy), philanthropic agencies.
- D) Others identified by the Area Agency on Aging.

2305.5 The Area Plan on Aging shall identify the procedures used to conduct the needs assessment taking into account hard to reach and home-bound older persons, and persons with limited English speaking abilities.

2305.6 The Area Plan on Aging shall list the information collected at public input sessions and describe what was used to build the plan. The Area Plan on Aging shall include a summary of the source(s) of each issue and the Area Agency on Aging action taken as well as identify the process to determine the allocation of Title III funds.

2305.7 The Area Plan on Aging shall identify the gaps or deficiencies in the local service systems, the type and anticipated volume of clients needing the services, and the funds that will be used to address the unmet needs.

2305.8 The Area Agency on Aging shall coordinate with community organizations and service providers in developing, expanding, or maintaining a community-based system of services that meet the needs of the older persons within its Planning and Service Area. Through the coordinated effort, the Area Agency on Aging ensures the efficient utilization of available funds to achieve established service levels and program objectives.

2400 Developing Goals and Objectives

2401 Overview

Area Plan on Aging goals and objectives establish the direction and activities that will be undertaken by the Area Agency on Aging to address the needs of older persons within the Planning and Service Area. Area Agencies on Aging are encouraged to use planning processes that will result in long-term investments with payoffs that increase over time such as strategic planning, business planning, and/or the logic model. When developing goals and objectives, the planning process used should consider Area Plans on Aging that plan for change in increasingly complex environments, manages for results, is future oriented and adaptable, is essential for customer support, is an essential managing tool, and is a tool that promotes communication.

This chapter provides the Division of Aging and Adult Services operational principles and procedures regarding the development of goals and objectives for the Area Plan on Aging. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §306, §331 and §336; Title 45 C.F.R. §1321.53 and §1321.59.

2402 Operational Principles

2402.1 The Area Plan on Aging outlines the goals and objectives that serve the aging population.

2402.2 The Area Plan on Aging is an opportunity to reassess the goals to which the Area Agency on Aging is committed and to re-evaluate the extent to which the goals and objectives currently serve the aging population.

2402.3 Area Plans on Aging shall be used as strategic documents to strengthen the organizational capacity of service systems to meet current and future service needs.

2402.2 In order to achieve results, Area Agency on Aging management and its staff must be committed to the plan and must pay constant attention to implementation of the goals and objectives.

2403 Operational Procedures

2403.1 The Area Agency on Aging is encouraged to align its goals and objectives with existing planning documents such as the Administration on Aging Strategic Plan and Arizona Aging 2020. In doing so, Area Plans will be more consistent, coordinated, and reflective of the comprehensive planning efforts of the State and Area Agencies on Aging.

2403.2 The Area Agency on Aging is encouraged to align its goals and objectives with program development and system transformation

initiative goals and objectives such as Performance Outcomes Measurement Project (POMP) and Aging and Disability Resource Center (ADRC).

2403.3 When developing goals and objectives, the following concepts shall be incorporated:

- A) Goals state broadly where the organization wants to go, that is, what the organization wants to achieve. They are general intentions, somewhat nebulous, intangible, abstract, and are not meant to be specific enough to be measured.
- B) Strategic objectives are change strategies to achieve the goals. Some of these objectives may not be measurable until later, however an action plan should always be included for strategic objectives.
- C) Operational objectives are used for existing programs to describe the existing workload that is going to continue into the next year without change. Operational objectives are precise, tangible, concrete, and can always be measured. They can be measured in terms of output, but even better, should be measured by the impact they have (outcome).
- D) Objectives don't always have to indicate a positive result. Sometimes a reduction in services must be planned for due to funding reductions/restriction or other reasons.
- E) Objectives should be reviewed annually and modified as necessary.

2403.4 The Area Agency on Aging shall develop an action plan for strategic objectives. The action plan indicates the steps that are needed to accomplish each objective. It specifies what will take place (steps), the person(s) specified to accomplish the plan (responsibility) within an established time period (completion date(s)) in order to fulfill the objective.

- A) Action plans shall be submitted no later than 90 days following the implementation date of the Area Plan on Aging.
- B) Action plans shall be modified to reflect changes made to strategic objectives throughout the tenure of the Area Plan on Aging.

2403.5 The Area Agency on Aging shall establish method(s), techniques and tools that will be used to determine whether or not the goals and objectives achieved its anticipated output or outcome(s). When developing an evaluation or tracking mechanism, the following concepts shall be incorporated:

- A) Outputs are the activities, products, and services that reach people/users. They are recorded as specific numbers, for example: the number of attendees at a family caregiver workshop, the number of meals served through the home delivered meals program or the number of advocacy letters sent out on a particular issue.

- B) Outcomes are the results/benefits for individuals, groups, agencies, communities and/or systems. They are recorded as the change (often reflected as a percentage) that occurred due to the activities involved and the outputs recorded. Examples are: 65% of those who attended the workshop reported that they did not know how to choose a caregiver for their parent before the workshop and now they do, 75% of the seniors served through the mobile meals program report that they wouldn't be able to continue living at home without this service, it was reported that 51% of the legislators changed their vote on bill, enough to pass it, because they had so many calls and letters from constituents in an area where the advocacy was implemented. Outcomes must be captured through data that is collected; such as a pre/post test for an event (to record how much seminar attendees learned), self-reported through evaluations filled out by attendees at an event, or data that is already collected as a part of the provision of services, etc.
- C) Action plans should be reviewed periodically to ensure the completion of its steps on schedule.
- D) Semi-annual progress reports on action plans shall be submitted to the Division of Aging and Adult Services.

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2700 Requesting Waivers

2701 Overview

Area Agencies on Aging may request waivers of direct service delivery, adequate proportion, and cost sharing. An Area Agency on Aging requesting a waiver shall demonstrate that it has met the criteria for the waivers requested.

This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for requesting waivers. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §306 and §307.

2702 Operational Principles for Waivers

2702.1 The following waivers may be requested by an Area Agency on Aging.

- A) Direct Service Waiver is a request by an Area Agency on Aging to provide services directly, **instead of** contracting with an agency or individual, to provide services within its Planning and Service Area.
- B) Adequate Proportion Waiver is a request by an Area Agency on Aging to **not** expend the minimum proportions established for priority services.
- C) Cost Sharing Waiver is a request by an Area Agency on Aging to **not** implement cost sharing within its Planning and Service Area, as described in Division of Aging and Adult Services Policy Chapter 2900 – Service Contributions.

2702.2 Each type of waiver has criteria and documentation requirements that must be met prior to being approved by the Division of Aging and Adult Services.

2703 Operational Procedures for Direct Service Waivers

2703.1 In accordance with the Older Americans Act Amendments of 2000, Section 307(a)(8)(A), "The plan shall provide that no supportive services, nutrition services, or in-home services will be directly provided by the State agency or an area agency on aging in the State, unless, in the judgment of the State agency,

- A) Provision of the service(s) by the Area Agency on Aging is necessary to assure an adequate supply of such service;
- B) The service(s) is directly related to the Area Agency on Aging's administrative functions; or
- C) The service(s) can be provided more economically, and with comparable quality, by the Area Agency on Aging."

2703.2 An Area Agency on Aging may request a waiver of the requirement to award subgrants or contracts to services providers for one or more services.

2703.3 An Area Agency on Aging may request a waiver of the requirement to award sub-grants or contracts to services providers for one or more services. A waiver is not necessary for direct provision of the following services: Information and Assistance, Outreach, Benefits Counseling, Pension Counseling, Long Term Care Ombudsman, Intake, Health Promotion, and State Health Insurance Assistance Program.

2703.4 An Area Agency on Aging requesting a waiver of this type must submit the following to the Division of Aging and Adult Services Program Administrator at least two months prior to the next contract year in which the waiver will become effective:

- A) The Request for Direct Service Waiver (Attachment A).
- B) Written justification identifying the criteria under which the Area Agency on Aging determines the waiver is warranted and adequately demonstrating that the Area Agency on Aging meets the measurements within the criteria identified.
- C) A copy of the notice of public input session, the distribution list used to issue the public input session, and the record of the public input session.

2703.5 The Division of Aging and Adult Services shall review the waiver request and tests for the assurance of adequate supply of such service or service provision can be accomplished more economically and with comparable quality. This review will be completed in 30 calendar days.

- A) Direct provision of the service(s) to assure adequate supply refers to minimizing service disruption due to the following:
 - 1) A service provider(s) did not respond to the Request for Proposal for the identified service(s). A transition plan must be submitted with the waiver request providing a description of how the direct provision will be implemented identifying, at a minimum, how clients will be transitioned, how clients will receive notification of such transition, how records will be transferred, and applicable time frames for implementation. The transition plan should also identify future efforts to award sub-grants or contracts to service providers for the provision of the service
 - 2) A service provider(s) unexpectedly drops out of the service network (example: goes out of business, no longer able to provide the service). A transition plan must be submitted with the waiver request providing a description of how the direct provision will be implemented identifying, at a minimum, how clients will be transitioned, how clients will receive notification of such transition, how records will be transferred, and applicable time frames for implementation.

- B) Direct provision of the service(s) can be provided more economically, and with comparable quality refers to the following:
- 1) Effectiveness refers to the capacity to provide a defined service including considerations of service quality and delivery criteria. The following factors shall be considered in measuring effectiveness:
 - a) Transition Plan refers to a description of how the direct provision will be implemented identifying, at a minimum, efforts to minimize service disruption, how clients will be transitioned, how clients will receive notification of such transition, how records will be transferred, and applicable time frames for implementation.
 - b) Public Comment refers to public input solicited through public input sessions and/or other information gathering session.
 - c) Customer Satisfaction refers to surveys, or other related data collection instruments, used to measure customer satisfaction levels of clients relating to the service(s) received by the client and the quality of such service as delivered by the service provider.
 - d) Monitoring Reports refers to the monitoring of service providers by Area Agencies on Aging and the subsequent reports identifying the frequency, programmatic and fiscal standards, quality assurance, and overall ratings (includes positive outcomes, deficiencies, and/or recommendations for improvement) of service providers in meeting contractual standards.
 - 2) Efficiency refers to the relative cost of providing a unit of service. At a minimum, the following factors will be considered in measuring efficiency:
 - a) Service Cost(s) refers to the total cost, including direct and indirect cost, to provide a unit of service as specified in the contract for the direct provision by the Area Agency on Aging to the service provision by the community-based service provider(s). Includes a review of the contract operating budget, itemized service budget, audit records, and/or other related documents.
 - b) Service Quantity refers to the quantity of services that would be delivered through direct provision by the Area Agency on Aging as compared to the community-based service providers. Includes a review of the contract operating budget, itemized service budget, audit records, and/or other related documents.

2704.1 In accordance with the Older Americans Act Amendments of 2000, Section 306(a)(2), ...Each such plan shall “provide assurances that an adequate proportion, as required under section 307(a)(2), of the amount allotted for part B to the planning and service area will be expended for the delivery of each of the following categories of services—

- A) Services associated with access to services (transportation, outreach, and information and assistance, and case management services);
- B) In-Home services including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and
- C) Legal assistance; and assurances that the Area Agency on Aging will report annually to the State agency in detail the amount of funds expended for each such category during the fiscal year most recently concluded.”

2704.2 The following proportions have been established for the priority services:

- A) Access to services at 16% allotment requirement.
- B) In-home services at 8% allotment requirement.
- C) Legal Assistance at 4% allotment requirement.

2704.3 Proportions shall be applied to the initial allocation of Part B funds indicated on the “Planning Level Alerts” issued each fiscal year to the Area Agencies on Aging by the Division of Aging and Adult Services. The minimum proportions shall be applied before making transfers between fund categories, and does not apply to Carryover or allowable fund transfers.

2704.4 Each fiscal year the Area Agencies on Aging identified to meet the established adequate proportion requirements are required to budget and expend at least the minimum percentages. Area Agencies on Aging cannot lower the amounts expended on priority services in a previous year to a lower proportion for the new fiscal year in order to fund non-priority services such as program development, socialization, recreation, advocacy or another Title III service.

2704.5 An Area Agency on Aging shall request a waiver of the requirement to expend the adequate proportion amounts for priority services.

2704.6 An Area Agency on Aging may seek a waiver for **one or more** of the following priority service categories. The request for waiver must specify if the waiver will be applied to the entire Planning and Service Area.

- A) An Area Agency on Aging will budget and expend at least the minimum proportion, as established by the Division of Aging and Adult Services, of the amount allotted for Part B to the Planning and Service Area for the delivery of priority services [OAA, Section 306(a)(2)].

- 1) Services associated with access to services such as transportation, outreach and information and assistance, and case management services.
 - 2) In-Home Services including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction.
 - 3) Legal assistance; and assurances that the Area Agency on Aging will report annually to the Division of Aging and Adult Services the amount of funds expended for each such category during the fiscal year most recently concluded.
- C) The following criteria apply to an Adequate Proportion Waiver:
- 1) Services furnished for the category(ies) in the planning and service area are sufficient to meet the need for the service(s) in the area.
 - 2) A timely public input session was conducted, upon request.
- D) An Area Agency on Aging requesting a waiver of this type must submit the following to the Division of Aging and Adult Services Program Administrator at least two months prior to the next contract year in which the waiver will become effective:
- 1) The Request for Adequate Proportion Waiver (Attachment B). The amount to be budgeted and expended shall be specified on the Request for Adequate Proportion Waiver.
 - 2) Written justification demonstrating that the Area Agency on Aging's specified proportion for the priority service(s) is sufficient in units and funds to meet the identified needs of the Planning and Service Area.
 - 3) A copy of the notice of public input session, if requested, the distribution list used to issue the notice of the public input session, and a copy of the record of the public input session.
- D) The Division of Aging and Adult Services reviews the waiver request and tests that the priority services in the Planning and Service Area are sufficient in units and funds to meet the needs as identified in its Area Plan. This review will be completed within 30 calendar days.
- 1) Sufficiency refers to the ability to meet the needs of a situation or a proposed end. At a minimum, the following factors shall be considered in measuring for sufficiency:
 - a) Identification of service need, including the formula used to determine service needs factoring in the existing waiting list for the area, if applicable.
 - b) Rationale for units to be delivered to meet service needs.
 - c) Rationale for funds to be expended to meet service needs.

2705 Operational Procedures for Cost Share Waivers

2705.1 In accordance with the Older Americans Act Amendments of 2000, Section 315(a)(1) and (2), "...a State is permitted to implement cost sharing for all services funded under the Older Americans Act by recipients of the services. The State is not permitted to implement the cost sharing described [above] for the following services:

- A) Information and assistance, outreach, benefits counseling, or case management services.
- B) Ombudsman, elder abuse prevention, legal assistance, or other consumer protection services.
- C) Congregate and home delivered meals.
- D) Any services delivered through tribal organizations."

2705.2 Cost sharing is required for respite service, but the Area Agency on Aging is encouraged to implement cost sharing for all permitted services.

2705.3 An Area Agency on Aging may request a waiver from implementing cost sharing for the services identified in 2705.2.

2705.4 An Area Agency on Aging may seek a waiver for **one or more** of the permitted services. The request for a waiver must specify if the waiver will be applied to the entire Planning and Service Area or applied to a specified county or counties.

2705.5 The following criteria apply to a Cost Sharing Waiver:

- A) A significant portion of individuals receiving services under the Older American's Act subject to cost sharing in the Planning and Service Area have incomes below the threshold established in the Division of Aging and Adult Services Policy Chapter 2900 – Service Contributions; or
- B) Cost sharing would be an unreasonable administrative or financial burden upon the Area Agency on Aging.

2705.6 An Area Agency on Aging requesting a waiver of this type must submit the following to the Division of Aging and Adult Services Program Administrator at least two months prior to the next contract year in which the waiver will become effective:

- A) The Request for Cost Sharing Waiver (Attachment C).
- B) Written justification adequately demonstrating one of the following:
 - 1) A significant portion of individuals receiving services under the Older Americans Act subject to cost sharing in the Planning and Service Area have incomes below the threshold established in the Division of Aging and Adult Services Policy Chapter 2900 – Service Contributions; or

- 2) Cost sharing would be an unreasonable administrative or financial burden upon the Area Agency on Aging.
 - 3) A copy of the notice of public input session, the distribution list that was used to issue the notice of public input session, and the record of the public input session.
- C) The Division of Aging and Adult Services shall review the Request for Cost Sharing and test for significance in the portion of individuals subject to cost sharing having incomes below the identified thresholds or for unreasonable administrative or financial burden. This review will be completed within 30 calendar days.
- 1) Significance refers to having or likely to have influence or effect of a noticeably or measurably large amount probably caused by something other than mere chance. At a minimum, the following factors shall be considered in measuring for significance in the portion of individuals subject to cost sharing having incomes below the identified thresholds:
 - a) Population below poverty levels as defined by the U.S. Census Bureau within the identified area.
 - b) Population below poverty served by the Area Agency on Aging. A significant proportion is equal to an amount greater than 50%.
 - c) Public comment, which refers to public input solicited through public input sessions and/or other information gathering session.
 - 2) Unreasonable refers to exceeding the bounds of reason. At a minimum, the following factors shall be considered in measuring for unreasonable administrative or financial burden:
 - a) Staffing Patterns refers to a review of the staffing ratio of direct staff to client percentage of full time equivalents devoted to direct staff functions, management functions, and supervisory functions; organizational chart, and other related documents.
 - b) Staffing Qualifications refers to a review of the education, experience, training, certification/licensure, and other related items of applicable staff.
 - c) Administrative Costs refers to the total cost, including direct and indirect costs associated in the implementation of cost sharing.
 - d) Administrative Impact refers to the overall impact on the functions of the Area Agency in implementing cost sharing.

- 2706.1 Approval of a waiver request for the full-term of the Area Plan on Aging shall be granted for waivers meeting the criteria established in sections 2703, 2704 and 2705.
- 2706.2 Should the Division of Aging and Adult Services propose to approve a waiver request, the Administration shall:
- A) Publish the intention to grant such a waiver and the justification for the waiver at least 30 days prior to the effective date of the decision to grant the waiver.
 - B) A service provider(s) or recipient(s) of service from the area affected by the waiver will be afforded an opportunity for a public input session, upon request to the Division of Aging and Adult Services. The service provider(s) or recipient(s) of service must request a public input session prior to the effective date of the decision to grant a waiver.
- 2706.3 Should the Division of Aging and Adult Services deny a waiver request, the Administration shall provide the following to the Area Agency on Aging:
- A) Written notice of the denial and justification of the decision to deny the waiver shall be provided within 30 days.
 - B) Written notice of the process and time frames in which the Area Agency on Aging may request and Administrative Review, as described in Division of Aging and Adult Services Policy Chapter 1930 – Appeals and Grievances.
 - C) Written notice informing the Area Agency on Aging of the opportunity to review the documents used to determine the decision for denial.
- 2706.4 Provisional Approval of a waiver request shall only be granted for Direct Service Waivers provided that the Area Agency on Aging has adequately demonstrated that the provision of services by the Area Agency is necessary to assure an adequate supply of such service(s) as identified in 2703.5.A.
- A) An Area Agency on Aging requesting Provisional Approval of a Direct Service Waiver, must submit the items identified in 2704.A and B.
 - B) The Division of Aging and Adult Services will review the Request for Direct Service Waiver and grant Provisional Approval, provided that the Area Agency on Aging meets the requirements detailed in 2703.5.A.

EXHIBITS:

2000C - Request for a Direct Service Waiver

2000D - Request for an Adequate Proportion Waiver

2000E - Request for a Cost Sharing Waiver

2800 Program Development and Coordination

2801 Overview

The Area Agency on Aging shall comply with the Federal requirements regarding funding under the Older Americans Act, Title III, Part B, Supportive Services and Senior Centers for Program Development and Coordination.

This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for the Area Agencies on Aging budgeting and expending of funds from Title III, Part B, for Program Development and Coordination during an approved Area Plan on Aging tenure. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §303, §304, §308(b)(3) and 321; and Title 45 C.F.R. §1321.17(14).

2802 Operational Principles

2802.1 The Division of Aging and Adult Services will not fund program development and coordinated activities as a cost of supportive service for the administration of area plans until the Area Agency on Aging has first spent 10 percent of the total of its combined allotments under Title III on the administration of area plans.

2802.2 The Division of Aging and Adult Services and the Area Agencies on Aging will, consistent with budgeting cycles, submit the details of a proposal to pay for program development and coordination as a cost of supportive services to the general public for review and comment.

2802.3 Program Development, as a service or function, shall meet the following criteria:

- A) The activities are intended to achieve a specific service(s) goal and objective.
- B) Activities must occur during a specifically defined and limited period of time, rather than being cyclical or on-going.
- C) The activities will have a direct and positive impact on the enhancement of services for older persons in the planning and service area.

2803 Operational Procedures

2803.1 An Area Agency on Aging shall request approval from the Division of Aging and Adult Services to utilize Title III, Part B funds for Program Development and Coordination.

- 2803.2 When requesting approval to utilize Title III, Part B funds for Program Development and Coordination, the Area Agency on Aging must provide assurances that they will not expend funds from the Title III, Part B allocation to support Program Development and/or Coordination until the Area Agency on Aging has first spent 10% of the total of its combined allotment under Title III on the administration of Area Plans.
- 2803.3 Area Agencies on Aging using funds to pay the cost of both Program Development and Coordination must ensure that the Administration funds are completely exhausted prior to the program funds.
- 2803.4 For approval for using Title III Part B funds for Program Development and Coordination services, each Area Agency on Aging shall ensure the reallocation of funds will have a direct and positive impact on the enhancement of services for older persons in the planning and service area.
- A) At no time will approval be granted if it is established that a reduction in service levels will result from the transfer or removal of funds of funds from an existing program or function.
- 2803.5 The Area Agency on Aging shall, consistent with its planning and budget cycle, submit a Program Development Methodology for inclusion in its State contract that describes how it intends to use Title III, Part B funds for Program Development and Coordination. The methodology should identify the following:
- A) Use of funds to research and/or establish a new service or to improve, expand, or integrate an existing service. Funds will be expended within the State Fiscal Year.
- B) Methods and timeline for which goals and objectives will be achieved.
- C) Area Plan on Aging strategic objectives and action plans for known projects.
- 2803.6 Funding and service levels identified as Locally Planned Social Services Block Grant (SSBG) must be adhered to. If an Area Agency on Aging is administering State Planned SSBG funds in its Planning and Service Area, the following process applies to the utilization of those funds for Program Development and Coordination:
- A) Must be approved by the Division of Aging and Adult Services prior to the start of a new fiscal year.
- B) Must comply with the requirements identified in 2803.5.

2900 Service Contributions

2901 Overview

Recipients of Older Americans Act services are to be provided the opportunity to voluntarily contribute to the cost of services. In addition, the Older Americans Act Amendments of 2000 permit States to implement cost sharing for certain services. The Division of Aging and Adult Services, in partnership with Area Agencies on Aging, shall establish and maintain guidelines for service contributions.

This chapter provides an outline of the Division of Aging and Adult Services operational principles and procedures for service contributions for services provided under the Older Americans Act. **This policy chapter is subject to change as additional information and/or regulations are received from the U.S. Department of Health and Human Services, Administration on Aging.**

Reference: Older Americans Act of 1965, as Amended in 2000, P.L. 106-501, §315.

2902 Operational Principles

2902.1 All service recipients shall be given the opportunity to voluntarily contribute to the cost of selected services received.

2902.2 Assets, savings or other property owned by an individual shall not be considered when defining low-income individuals who are exempt from cost sharing, when creating a sliding scale for the cost sharing, or when seeking voluntary contributions from any individual.

2902.3 Area Agencies on Aging, or entity that such agency has contracted with, shall not means test for any service for which voluntary contributions are accepted or deny any services to an individual due to the individual's reluctance or inability to contribute toward the cost of the services.

2902.4 Prior to implementation of cost sharing, the Division of Aging and Adult Services and the Area Agencies on Aging shall develop plans that are designed to ensure that the participation of low-income individuals, with particular attention to low-income minority individuals and individuals residing in rural areas, receiving services will not decrease with the implementation of the cost sharing.

2902.5 The Division of Aging and Adult Services and the Area Agencies on Aging, conducting public input sessions on State and area plans shall solicit the views of older individuals, providers, and other stakeholders on the implementation of cost sharing in the service area or the State.

2902.6 Area Agencies on Aging may request a waiver from implementing cost sharing for all or selected services meeting the criteria identified in 2903.3 and utilizing the process identified in the Division of Aging and Adult Services policy Chapter 2100 – Area Plan on Aging.

2902.7 This policy chapter does not apply to the sliding fee schedule for services funded with other funds such as State Funds and SSBG.

2903 Operational Procedures

2903.1 When implementing voluntary contributions, the Area Agency on Aging, or entity that such agency has contracted with, shall ensure the following standards are met:

- A) The best method for accepting voluntary contributions are determined through consultation with relevant entities within the Planning and Service Area.
- B) Voluntary contributions are solicited for all services funded by the Older Americans Act in a method that is non-coercive.
- C) Each individual is provided with an opportunity to voluntarily contribute to the cost of the service.
- D) Each individual is clearly informed that there is no obligation to contribute and that the contribution is purely voluntary.
- E) The privacy and confidentiality of each individual is protected with respect to the individual's contribution or lack of contribution.
- F) Appropriate procedures are established to safeguard and account for all contributions.
- G) All collected contributions are used to expand the service for which the contributions were given.

2903.2 Area Agencies on Aging may allow the entity that such agency has contracted with to develop "suggested" contribution schedules for services rendered, however, an individual's assets may not be utilized as a basis for contributing.

2903.3 Cost sharing may be implemented for services funded by the Older Americans Act, with the *exception* of the following services:

- A) Information and assistance, outreach, benefits counseling, or case management services.
- B) Ombudsman, elder abuse prevention, legal assistance or other consumer protection services.
- C) Congregate and home delivered meals.
- D) Any services delivered through tribal organizations.

2903.4 Cost sharing is prohibited for older individuals whose income is at or below 100% of the Federal Poverty Level (FPL). Older Individuals whose income is at 500% of FPL shall be requested to pay the full cost of the services received.

2903.5 When implementing cost sharing procedures, the Area Agencies on Aging, or entity that such agency has contracted with, shall ensure the following standards are met:

- A) The privacy and confidentiality of each older individual is protected with respect to the declaration or non-declaration of individual income and to any share of costs paid or unpaid by an individual.
- B) Appropriate procedures are established to safeguard and account for cost share payments.
- C) Each collected cost share payment is used to expand the service for which such payment was given.
- D) Assets, savings, or other property owned by an older individual are not considered in determining whether cost sharing is permitted.
- E) Any service for which funds are received under the Older Americans Act are not denied for an older individual due to the income of such individual or the individual's failure to make a cost sharing payment.
- F) The eligibility of older individuals to cost share is determined solely by a confidential declaration of income and with no requirement for verification.
- G) Widely distribute written material in languages reflecting the reading abilities of older individuals that describe the criteria for cost sharing, the sliding fee schedule, and the mandate described under (E) above.

2903.6 Area Agencies on Aging must submit a sliding fee schedule to the Division of Aging and Adult Services for final approval prior to implementation. The sliding fee schedule shall be based solely on the older individual's income and the cost of delivering services.

2903.7 Area Agencies on Aging may request a waiver from implementing cost sharing for all or selected services meeting the criteria identified in 2903.3 and utilizing the process identified in the Division of Aging and Adult Services policy Chapter 2100 – Area Plan on Aging.

Area Plan on Aging Format Instructions

The primary purpose of this instruction is to provide Area Agencies on Aging with the guidelines they must use in developing and submitting Area Plans on Aging and amendments. These guidelines are effective immediately and will remain so until replaced.

The components of the Area Plan on Aging include:

Verification of Intent

Part I	Introduction to the Area Plan on Aging
Part II	Description of the Area Agency on Aging
Part III	Needs Assessment
Part IV	Goals, Objectives, and Action Plans
Part V	Preference to Older Persons with Greatest Economic or Social Need
Part VI	Key Changes to Service Delivery
Part VII	Approved Waivers
Part VIII	Budget
Part IX	Area Agency Services to be Funded by Geographic Area
Part X	Appendix

PART I - INTRODUCTION TO THE AREA PLAN

The following narrative must be included in the introduction section of the Area Plan on Aging:

An Area Plan is the document submitted by an Area Agency on Aging to the State Agency on Aging in order to receive awards or contracts from the State Agency's grant provided under the Older Americans Act, as amended. The Area Plan contains provisions required by the Act, the Federal rules and regulations, State policies, procedures, and assurances and commitments that the Area Agency will administer activities funded under the plan in accordance with all Federal and State requirements. The plan is the blueprint by which the Area Agency develops and administers a comprehensive and coordinated system of services and serves as the advocate and focal point for older people in the Planning and Service Area.

Conceptually, the plan must represent a process, which translates needs assessment information into the establishment of priorities for funding and services.

The Area Plan on Aging, as a planning document, has three major purposes, as follows:

- 1) The Area Plan serves as the planning document which identifies needs, goals, objectives, and the activities that will be undertaken by the Area Agency on Aging relative to programs for the older persons in the Planning and Service Area.
- 2) The Area Plan represents a formal commitment to the State Agency, which describes the manner in which the Area Agency on Aging plans to utilize the Older Americans Act funds, and how it will carry out its administrative responsibilities.
- 3) The Area Plan is viewed as "the blueprint for action" which represents a commitment by the Area Agency on Aging that it will fulfill its role as the planner/catalyst/advocate on behalf of older persons in the Planning and Service Area.

PART II - DESCRIPTION OF AREA AGENCY ON AGING AND ITS NETWORK

This section should provide a **clear and concise** description of your Area Agency on Aging and its network. DAAS recommends that your description be no more than eight paragraphs in length and address the following questions:

- Is the Area Agency on Aging a single-purpose agency to administer program for older persons?
- Is the Area Agency on Aging a separate organizational unit within a multipurpose agency which functions only for the purposes of serving as the AAA? If so, describe the nature and organizational placement of the separate unit?
- If the Area Agency on Aging is a Tribal Area Agency on Aging, how does the Agency coordinate with the programs and services outlined in the Older Americans Act Title VI?
- How is the agency organized and what is the nature and scope of its work and/or its capabilities?
- What methods are used by the agency to carry out AAA responsibilities? (examples: clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, how they will contribute to achieving the plan's objectives)
- What is the network for which the Area Agency on Aging operates? (examples: service delivery system, advisory council, partnerships, funders, etc.)
- How does the Area Agency on Aging assure coordination and integration of multiple fund sources?
- What is the approach that will be used to monitor and track progress on the Area Plan on Aging?
- How is competition used in the Area Agency on Aging in arranging for services for elderly individuals and their caregivers?

The following should be included in the appendix:

- Area Agency on Aging Organizational Chart
- Regional Advisory Council Membership
- Listing of Programs and Services

PART III - NEEDS ASSESSMENT

This section should provide a **clear and concise** description of the needs assessment process used by the Area Agency on Aging. DAAS recommends that your description be no more than eight paragraphs in length and address the following questions:

- What procedure was used to conduct the needs assessment? (examples: survey instrument, public information gathering sessions, etc.)
- What was the rationale for using the particular procedure(s)?
- Who was involved in the assessment? What methods were used to ensure that the views of older individuals with greatest economic or social need, with particular attention to low-income minority individuals and individuals residing in rural areas, older individuals who are Indians, and older individuals with severe disabilities were considered?
- What was the role and makeup of strategic partnerships? (examples: identification of other organizations, funders, and/or consumer groups)
- What information collected from the needs assessment process was used to build the plan?
- What major barriers were anticipated or encountered?
- How were these barriers overcome?
- What prior planning activities or approaches were used?

The following should be included in the Appendix:

- Needs assessment instrument
- Results collected from the needs assessment

Sample format for documenting information collected:

COMMENT/ISSUE	SOURCE	ACTION TAKEN

PART IV – GOALS, OBJECTIVES, AND ACTION PLANS

This section should provide a **clear and concise** listing of the Area Agency on Aging goals and objectives for the planning period. At a minimum, a goal and related objectives should be developed to ensure preference is given to older persons with greatest economic or social need with particular attention to low-income minority and older individuals residing in rural areas as defined in [P.L. 106-501 §306(a)(1), 306(a)(4)(A), 306(a)(4)(B)]. In addition, where a new service is to be developed, the goals and strategic objectives should guide the development effort.

Examples

Goal 1. Ease access to services for older adults.

Strategic Objective: S.1-1 Reach out to the local transportation departments, city/county government to improve transportation to older adults.

Action Plan Steps: Assign staff, set up meetings with city, county, local transportation departments.

Operational Objective: O.1.1 Maintain use of volunteer transportation to services by informing additional older adults about volunteer driver program.

Outputs: 15 neighborhood forums held/720 total attendance

Outcome: 57 older adults that were not able to access services due to transportation problems are now able to access services (same number as were reached in the previous year).

Goal 2. Increase the ability of older adults to remain active, healthy and living independently in their communities.

Strategic Objective: S.2-1 Reduce the number of older adults that fall in the home by beginning home visits to assess and make suggestions that will reduce falls.

Action Plan Steps: 1) Assign staff to project, identify at-risk seniors (through case managers, physicians, self-selection through advertising the program, etc.) visit homes to ID risks and make suggestions for modifications. 2) Develop evaluations that will be used to assess previous fall history, why and modifications suggested. 3) Evaluate at regular interval(s) to assess change in # of falls compared to previously collected data.

Operational Objective: O.2-1 Increase the number of older adults that are able to continue to reside at home due to home-delivered meals

Outputs: 175 additional older adults were added to the list of those served by home delivered meals (same number as added in the previous year).

Outcomes: 48% of those added reported that they wouldn't be able to continue to live at home without the home-delivered meals (same percentage as obtained in the previous year). This % was determined by self-report on an evaluation given to each participant.

Sample format of action plan:

Goal:			
Objective:			
Action Step	Completion Date	Person Responsible	Output/Outcome

PART V - PREFERENCE TO OLDER PERSONS WITH GREATEST ECONOMIC OR SOCIAL NEED

This section should provide a **clear and concise** description of the Area Agency on Aging's assurance that preference will be given to older individuals with greatest economic or social need, with particular attention to low-income minority individuals and individuals residing in rural areas, older individuals who are Indians, and older individuals with severe disabilities. DAAS recommends that your description be no more than two paragraphs in length and address the following questions:

- How will the Area Agency ensure that the needs of "preference" are being met?
- How will the Area Agency incorporate published demographic information into its outreach and service delivery?
- How will the Area Agency use outreach efforts to identify individuals eligible for assistance under the Older Americans Act, with special emphasis on older individuals with greatest economic and social need, with particular attention to low-income minority individuals, individuals residing in rural areas, individuals who are Indians, and individuals with a severe disability within the planning and service area.
- How will the Area Agency ensure that its service provider(s) will satisfy the service needs of low-income minority individuals, individuals residing in rural areas, individuals who are Indians, and individuals with a severe disability in the area being served by the service provider.
- How will the Area Agency ensure that its service provider(s), to the maximum extent feasible, will provide services to low-income minority individuals, individuals residing in rural areas, individuals who are Indians, and individuals with a severe disability in the area being served by the service provider.
- How will the Area Agency ensure that its service provider(s) will meet the specific objectives established by the Area Agency for providing services to low-income minority individuals, individuals residing in rural areas, individuals who are Indians, and individuals with a severe disability in the area being served by the service provider.
- How will community-based organizations be involved in a meaningful way in the planning and implementation of the Area Plan on Aging.

PART VI – KEY CHANGES TO SERVICE DELIVERY

This section should provide a **clear and concise** description of key changes to the service delivery system for which the Area Agency on Aging intends to make and the reasons for those changes. This section should also provide the initiatives in which the Area Agency on Aging is or will be involved. The DAAS recommends that your description be no more than four paragraphs in length and address the following questions:

- What are the key changes to your service delivery system and why are those changes being made?
- What is your involvement in the development, expansion, and coordination of Aging and Disability Resource Centers, or the basic principles of systems change that this project entails?
- As part of the Aging and Disability Centers project, how do you anticipate integrating a comprehensive array of information, intake, referral, and counseling services into one-stop service centers?
- As part of the Aging and Disability Resource Centers project, how do you anticipate expanding service provision to private pay and non-elderly clients?
- How will you work with the Division of Aging and Adult Services to develop management information systems that support the functions of the program, including client intake, needs assessment, care plans, utilization and cost; establishing measurable performance objectives related to program visibility, consumer trust, ease of access, responsiveness to consumer needs, efficiency of operations, and program effectiveness?
- What efforts are you considering to implement evidence-based health promotion and disease prevention programs in your planning and service areas?
- What steps have been taken to help elderly individuals to avail themselves of the benefits available to them under the Medicare Modernization Act?
- What is your involvement in improving the coordination of transportation services to assist elderly individuals in communities within your planning and service area?
- What is your involvement in modernizing senior centers in your planning and service area?

PART VII - APPROVED WAIVERS

This section should provide a **clear and concise** listing of the approved waivers received by the Area Agency on Aging for the planning period. The listing may be substituted with copies of the approval letters for the waivers requested.

PART VIII - BUDGET

This section should provide a detailed budget for the first year of the planning period. (Attach a copy of the Area Agency on Aging State Fiscal Year 2008 Contract Operating Budget)

PART IX - AREA AGENCY SERVICES TO BE FUNDED BY GEOGRAPHICAL AREA

This section should provide a **clear and concise** listing of the anticipated allotments of Area Agency on Aging resources for the delivery of services within the various geographical areas of the Planning and Service Area, i.e., counties, cities, etc.

Sample format for documenting services funded:

	Service #1	Service #2	Service #3	Etc.
City/PSA A				
City/PSA B				
Etc.				

PART X - APPENDIX

At a minimum, the following should be included in the Appendix:

- Area Agency on Aging Organizational Chart
- Regional Advisory Council Membership
- Listing of Programs and Services
- Assurances
- Needs assessment instrument
- Results of needs assessment
- Comments on the Area Plan received at the public input sessions or other information gathering activity held by the Area Agency. Include additional material that will assist the Division of Aging and Adult Services in its review of the Area Plan.

Area Plan Assurances

By signing this document, the authorized official commits the Area Agency on Aging to performing all listed assurances and required activities.

(2) Each area agency on aging shall provide assurances that an adequate proportion, as required under section 307(a)(2), of the amount allotted for part B to the planning and service area will be expended for the delivery of each of the following categories of services-

(A) services associated with access to services (transportation, health services (including mental health services), outreach, information and assistance (which may include information and assistance to consumers on availability of services under part B and how to receive benefits under and participate in publicly supported programs for which the consumer may be eligible), and case management services);

(B) in-home services, including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and

(C) legal assistance;

and assurances that the area agency on aging will report annually to the State agency in detail the amount of funds expended for each such category during the fiscal year most recently concluded.

(4)(A)(i)(I) provide assurances that the area agency on aging will—

(aa) set specific objectives, consistent with State policy, for providing services to older individuals with greatest economic need, older individuals with greatest social need, and older individuals at risk for institutional placement;

(bb) include specific objectives for providing services to low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas; and

(II) include proposed methods to achieve the objectives described in items (aa) and (bb) of subclause (I);

(ii) provide assurances that the area agency on aging will include in each agreement made with a provider of any service under this title, a requirement that such provider will—

(I) specify how the provider intends to satisfy the service needs of low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in the area served by the provider;

(II) to the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in accordance with their need for such services; and

(III) meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas within the planning and service area; and

(4)(A)(iii) With respect to the fiscal year preceding the fiscal year for which such plan is prepared, each area agency on aging shall--

(I) identify the number of low-income minority older individuals and older individuals residing in rural areas in the planning and service area;

(II) describe the methods used to satisfy the service needs of such minority older individuals; and

(III) provide information on the extent to which the area agency on aging met the objectives described in clause (a)(4)(A)(i).

(4)(B)(i) Each area agency on aging shall provide assurances that the area agency on aging will use outreach efforts that will identify individuals eligible for assistance under this Act, with special emphasis on--

(I) older individuals residing in rural areas;

(II) older individuals with greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas);

(III) older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas);

(IV) older individuals with severe disabilities;

(V) older individuals with limited English proficiency;

(VI) older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and

(VII) older individuals at risk for institutional placement; and

(4)(C) Each area agency on agency shall provide assurance that the area agency on aging will ensure that each activity undertaken by the agency, including planning, advocacy, and systems development, will include a focus on the needs of low-income minority older individuals and older individuals residing in rural areas.

(5) Each area agency on aging shall provide assurances that the area agency on aging will coordinate planning, identification, assessment of needs, and provision of services for older individuals with disabilities, with particular attention to individuals with severe disabilities, and individuals at risk for institutional placement, with agencies that develop or provide services for individuals with disabilities.

(6)(F) Each area agency will:

in coordination with the State agency and with the State agency responsible for mental health services, increase public awareness of mental health disorders, remove barriers to diagnosis and treatment, and coordinate mental health services (including mental health screenings) provided with funds expended by the area agency on aging with mental health services provided by community health centers and by other public agencies and nonprofit private organizations;

(9) Each area agency on aging shall provide assurances that the area agency on aging, in carrying out the State Long-Term Care Ombudsman program under section 307(a)(9), will expend not less than the total amount of funds appropriated under this Act and expended by the agency in fiscal year 2000 in carrying out such a program under this title.

(11) Each area agency on aging shall provide information and assurances concerning services to older individuals who are Native Americans (referred to in this paragraph as "older Native Americans"), including-

(A) information concerning whether there is a significant population of older Native Americans in the planning and service area and if so, an assurance that the area agency on aging will

pursue activities, including outreach, to increase access of those older Native Americans to programs and benefits provided under this title;

(B) an assurance that the area agency on aging will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI; and

(C) an assurance that the area agency on aging will make services under the area plan available, to the same extent as such services are available to older individuals within the planning and service area, to older Native Americans.

(13)(A) Each area agency on aging shall provide assurances that the area agency on aging will maintain the integrity and public purpose of services provided, and service providers, under this title in all contractual and commercial relationships.

(13)(B) Each area agency on aging shall provide assurances that the area agency on aging will disclose to the Assistant Secretary and the State agency--

(i) the identity of each nongovernmental entity with which such agency has a contract or commercial relationship relating to providing any service to older individuals; and

(ii) the nature of such contract or such relationship.

(13)(C) Each area agency on aging shall provide assurances that the area agency will demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under this title by such agency has not resulted and will not result from such non-governmental contracts or such commercial relationships.

(13)(D) Each area agency on aging shall provide assurances that the area agency will demonstrate that the quantity or quality of the services to be provided under this title by such agency will be enhanced as a result of such non-governmental contracts or commercial relationships.

(13)(E) Each area agency on aging shall provide assurances that the area agency will, on the request of the Assistant Secretary or the State, for the purpose of monitoring compliance with this Act (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older individuals.

(14) Each area agency on aging shall provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title.

(15) provide assurances that funds received under this title will be used--

(A) to provide benefits and services to older individuals, giving priority to older individuals identified in paragraph (4)(A)(i); and

(B) in compliance with the assurances specified in paragraph (13) and the limitations specified in section 212.

Signature and Title of Authorized Official

Date

REQUEST FOR A DIRECT SERVICE WAIVER

_____ hereby requests a waiver of the requirement to
(Area Agency on Aging)
award subgrants or contracts to service providers for the services identified in this request.

1. Identify the service(s) to be delivered by the Area Agency.

2. Identify criteria for which the waiver is warranted:

☐ a. Provision of the service(s) by the Area Agency on Aging is necessary to assure an adequate supply of such service.

☐ b. The service(s) is directly related to the Area Agency on Aging's administrative functions.

☐ c. The service(s) can be provided more economically, and with comparable quality, by the Area Agency on Aging.

3. Describe the rationale for the identified criteria (this must be completed for each service):

Signature and Title of Authorized Official

Date

REQUEST FOR AN ADEQUATE PROPORTION WAIVER

_____ hereby requests a waiver of the requirement to
(Area Agency on Aging)

expend an adequate proportion of Title III-B funds as set in the State Plan on Aging for:

1. Identify the Priority Service Category and respective percentage to be budgeted and expended:

☐ a. Access Services (minimum 16%) _____ Percentage

☐ b. In-Home Services (minimum 8%) _____ Percentage

☐ c. Legal Services (minimum 4%) _____ Percentage

2. Describe the rationale that services furnished for the priority services category(ies) in the planning and service area are sufficient to meet the need for the services in the area:

Signature and Title of Authorized Official

Date

REQUEST FOR A COST SHARING WAIVER

_____ hereby requests a waiver of the requirements to
(Area Agency on Aging)

implement cost sharing within the following area:

(identify planning and service area or applicable county/counties)

for the following permitted service:

[] Respite Care

1. Identify the reason for the waiver:

☐

a. A significant proportion of persons receiving services under this Act subject to cost sharing in the Planning and Service Area have incomes below the threshold established in the Division of Aging and Adult Services policy.

☐

b. Cost sharing would be an unreasonable administrative or financial burden.

2. Describe the rationale for the identified reason:

Signature and Title of Authorized Official

Date